

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re Application of:

Edward William ADAMS ET AL.

Continuation of Serial No.: 09/841,237

Group Art Unit: Unassigned

Filing Date: Concurrently herewith

Examiner: Unassigned

Title: SURFACE-MODIFIED SEMICONDUCTIVE AND METALLIC NANOPARTICLES  
HAVING ENHANCED DISPERSIBILITY IN AQUEOUS MEDIA

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This is an Information Disclosure Statement submitted for the Examiner's consideration.  
Applicants respectfully request that the Examiner review and make of record the references  
identified below.

The references identified below were disclosed and/or cited in parent application Serial  
No. 09/841,237, filed April 23, 2001, and, as such, copies thereof are not included pursuant to  
the provisions of 37 CFR § 1.98(d).

PTO-1449 form listing the references accompany this paper. Applicants would  
appreciate the Examiner's initialing and returning the forms to indicate that the references have  
been reviewed and made of record. The references are as follows:

U.S. PATENT DOCUMENTS		
Document No.	Issue Date / Publication Date	Patentee / Applicant
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4,504,618	3/12/85	Irvine et al.
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6,150,459	11/21/00	Mayes et al.
6,162,456	12/19/00	Dunbar et al.
6,319,426	11/01	Bawendi et al.

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Document No.	Issue Date / Publication Date	Patentee / Applicant
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6,326,144	12/01	Bawendi et al.
6,333,110	12/01	Barbera-Guillem
6,342,625	1/02	Kwetkat et al.
6,444,143	9/02	Bawendi et al.
6,468,808	10/02	Nie et al.

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WO 00/17642	3/30/00	PCT
WO 00/17655	3/30/00	PCT
WO 00/17656	3/30/00	PCT
WO 00/29617	5/25/00	PCT

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CARROT et al. (1999), "Synthesis and Characterization of Nanoscopic Entities Based on Poly(Caprolactone)-Grafted Cadmium Sulfide Nanoparticles," <i>Chem. Mater.</i> <u>11</u> (12):3571-3577.		
EKIMOV et al. (1981), "Quantum Size Effect in Three-Dimensional Microscopic Semiconductor Crystals," <i>JETP Lett.</i> <u>34</u> (6):345-349.		
INGRAM et al. (1997), "Poly-Hetero- $\omega$ -Functionalized Alkanethiolate-Stabilized Gold Cluster Compounds," <i>J. Am. Chem. Soc.</i> <u>119</u> (39):9175-9178.		
JOHNSON et al. (1998), "Influence of a Terminal Functionality on the Physical Properties of Surfactant-Stabilized Gold Nanoparticles," <i>Langmuir</i> <u>14</u> (23):6639-6647.		
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MA et al. (1998), "Polymer Micelles from Poly(Acrylic Acid)-Graft-Polystyrene," <i>Macromolecules</i> <u>31</u> (6):1773-1778.		
MOFFITT et al. (1998), "Spherical Assemblies of Semiconductor Nanoparticles in Water-Soluble Block Copolymer Aggregates," <i>Chem. Mater.</i> <u>10</u> (4):1021-1028.		
PONCET-LEGRAND et al. (1999), "Rheological Behaviour of Colloidal Dispersions of Hydrophobic Particles Stabilised in Water by Amphiphilic Polyelectrolytes," <i>Colloids and Surfaces A: Physicochemical and Engineering Aspects</i> <u>152</u> :251-261.		

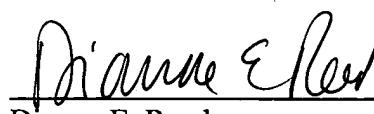
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SASTRY et al. (1998), "Facile Surface Modification of Colloidal Particles Using Bilayer Surfactant Assemblies: A New Strategy for Electrostatic Complexation in Langmuir-Blodgett Films," <i>Langmuir</i> <u>14</u> (20):5921-5928.
SCHALLER et al. (1999), "Synthesis and Properties of Hydrophobically Modified Water-Borne Polymers for Pigment Stabilization," <i>Progress in Organic Coatings</i> <u>35</u> :63-67.
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WANG et al. (1999), "Synthesis of Polycarbonate- <i>co</i> -Poly( <i>p</i> -Ethylphenol) and CdS Nanocomposites," <i>Journal of Applied Polymer Science</i> <u>72</u> :1851-1868.

This Information Disclosure Statement is not intended as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any of the above references constitutes prior art to the present application within the meaning of 35 USC § 102.

As this Information Disclosure Statement is being filed concurrently with the application, no fee is required.

Respectfully submitted,

By:

  
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STATEMENT BY APPLICANT**  
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Sheet

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*Complete if Known*

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Examiner Name	Unassigned
Attorney Docket Number	7725-0001.02

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AA	4,138,381	2/6/79	Chang et al.				
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**OTHER DOCUMENTS — NONPATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), Title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
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Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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